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Joint Pilot Action Programme under Art. 10 ERDF Alpine Space / Eastern Alps. Third Progress Report to the European Commission DG XVI

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Joint Pilot Action Programme
under Art. 10 ERDF

Alpine Space / Eastern Alps



THIRD PROGRESS REPORT

to the European Commission DG XVI

Submitted by the Common Secretariat
on 4th September 1999

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Enclosures:

- Distribution of Expenditure 04.09.1999
- Interim Evaluation - Terms of Reference

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I. INTRODUCTION

The Common Secretariat of the *Alpine Space / Eastern Alps* Pilot Action under art. 10 ERDF submits this "Third Progress Report to the European Commission DG XVI" on the state of implementation of the Programme, as disposed by the "General provisions relating to the grant of Community assistance to finance a pilot action under the second programme of inter-regional co-operation and innovative action under the Structural Funds 1995-99 – transnational co-operation in the field of spatial planning" (par. 4-5) annexed to the Programme approved.

This "Third Progress Report", submitted on 4th September 1999, follows the First and the Second ones, respectively submitted on 4th September 1998 and on 22nd March 1999. The Report summarises the contents and scopes of the Pilot Action (§ II), the main activities leaded (§ III) and the general results obtained so far (§ IV); explains in more detail the recent initiatives concerning the Programme evaluation (§ V); and finally indicates the next steps of implementation (§ VI).

The Common Secretariat will be pleased to explain, integrate and update in any time the contents of this Report. Other general information anyway can be found in the official documents concerning the Programme.

II. THE "ALPINE SPACE" PILOT ACTION

Alpine Space / Eastern Alps is one of the four Joint Pilot Action Programmes for transnational co-operation in the field of spatial planning, promoted by the European Commission under art. 10 ERDF (1995-99). The Pilot Action involves Austria, Germany and Italy member States, while Liechtenstein, Slovenia and Switzerland are invited to participate.

The Programme, to be implemented with a Community contribution of € 5 millions (50% of the total contribution) in the period 1st February 1998 / 31st December 1999 (date of the last commitment), indicates nine key-projects within the following four measures:

- A. Transnational spatial development policies*
- B. Environmental spatial development and management of tourism*
- C. Settlement structure and sustainable economic development*
- D. Natural and cultural heritage*

The agreement on key-projects since the programming phase by the national and regional administrations involved is one peculiarity of this Pilot Action, which leads to exclude open calls for projects during the implementation phase.

Another peculiarity of *Alpine Space*, with respect to similar co-operation programmes, consists in its technical coordination by a “virtual” Secretariat. In other words, the Common Secretariat is not really conceived as a physically joint structure directly responding to the Management Committee, but it is simply composed by the combination of the respective National Secretariats.

III. MAIN ACTIVITIES

Briefly, the essential steps along which the *Alpine Space / Eastern Alps* Pilot Action developed since the approval of the Programme are:

- 1st February 1998, starting date of the Pilot Action implementation period under the Austrian chairmanship
- 5th March 1998, approval of the Pilot Action Programme
- 25th March 1998, first meeting of the Common Secretariat (Innsbruck)
- 11th May 1998, deadline of the first limited call for projects
- 22nd-23rd June 1998, pre-assessment of the presented projects by the Common Secretariat
- 20th July 1998, first meeting of the Management Committee and approval of the eight presented projects (Salzburg)
- 4th September 1998, transmission of the “First Progress Report” to the EC
- 22nd September 1998, shift of the Pilot Action chairmanship from Austria to Germany
- 19th October 1998, meeting of the INTERREG II C and Pilot Action Secretariats (Brussels)
- 29th October 1998, meeting of the Common Secretariat (Munich)
- 25th-26th November 1998, presentation of the Pilot Action to the ESDP Seminar in Vienna
- 2nd December 1998, meeting of the INTERREG II C and Pilot Action Secretariats (Brussels)
- 11th December 1998, deadline of the second limited call for projects
- January 1999, pre-assessment of the presented projects by the Common Secretariat
- 2nd-3rd February 1999, final ESDP and INTERREG II C / Pilot Action Seminar (Brussels)
- 26th February 1999, meeting of the Management Committee and approval of the last presented project (Garmisch-Partenkirchen)
- 22nd March 1999, transmission of the “Second Progress Report” to the EC
- 16th April 1999, call for proposals for Interim Evaluation of the Pilot Action
- 13th May 1999, shift of the Pilot Action chairmanship from Germany to Italy
- 7th June 1999, pre-assessment of the bids for Interim Evaluation by the Common Secretariat
- 17th June 1999, launching of a “written procedure” for the nomination of the Evaluator of the Pilot Action
- 8th July 1999, nomination of the Evaluator of the Pilot Action

- *July 1999*, organisation of an informal meeting in September on the "INTERREG III B - Alpine Space" EC proposal

IV. STATE OF THE ART AND MAIN RESULTS

Following the decisions taken in the last meeting of the Management Committee, held in Garmisch-Partenkirchen on 26th February 1999, all the nine key-projects of the Pilot Action have been approved and the Community funds have been almost totally allocated (99,78%, see Enclosures).

The framework of the *Alpine Space Eastern Alps* Pilot Action projects, now being implemented, is:

A1. Spatial development and spatial planning in the Alpine area (REGIONALP)

Co-ordinator: Austrian Federal Chancellery

Total contribution € 526.000; EU contribution € 263.000 (+ non-EU contribution € 60.000)

A2. "Good practice guide" for implementation of programmes and projects concerning sustainable spatial and regional planning

Co-ordinator: Austrian Ministry for Environment, Youth and Family

Total contribution € 399.476; EU contribution € 116.970

A3. Local authorities network "Alliance in the Alps"

Co-ordinator: Bayerisches Staatsministerium für Landesentwicklung und Umweltfragen

Total contribution € 744.256; EU contribution € 372.128

B1. Transnational pilot projects for environmentally sound travel logistics linked with electronic booking and information systems in Alpine tourism regions

Co-ordinator: Austrian Ministry for Environment, Youth and Family

Total contribution € 3.431.000; EU contribution € 1.515.500

C1. Rationalisation, maintenance and reinsertion of public and private services at the local and regional level

Co-ordinator: Italy, Regione Friuli - Venezia Giulia

Total contribution € 764.000; EU contribution € 382.000

C2. Regional and spatial planning instruments for Alpine areas, with special reference to the balanced and sustained development of settlements in densely and sparsely populated regions

Co-ordinator: Austria, Land Tyrol

Total contribution € 1.559.000; EU contribution € 771.000

D1. Developing a computer information system for co-ordinating civil protection in transnational regions

Co-ordinator: Italy, Aut. Province of Trento

Total contribution € 798.000; EU contribution € 399.000

D2. Protecting and recovering settlement typologies in small Alpine centres

Co-ordinator: Italy, Regione Veneto

Total contribution € 950.000; EU contribution € 475.000

D3. Water resources in the Alpine space

Co-ordinator: Italy, Aut. Province of Bolzano

Total contribution € 890.000; EU contribution € 445.000

The overall success obtained by the Pilot Action in the projects approval and funds allocation phase is facing now with a certain delay in the implementation phase, with some difficulties in contracting commitments. Thus, on project implementation is now concentrating the attention of the Common Secretariat.

V. PROGRAMME EVALUATION

In the meeting on 26th February 1999 the transnational Management Committee took the decision to promote an interim evaluation of the Pilot Action (total budget: € 25.000).

The Common Secretariat subsequently prepared the "Terms of reference for Interim Evaluation" (see Enclosures), sending an invitation to tender to seven persons/institutions on 16th April 1999 (list enclosed within the "Terms of reference").

Three institutions answered to the invitation submitting their proposals within the established deadline on 7th May 1999. The Common Secretariat provided to the assessment of the bids submitted, with the help of specific Summary Sheets, gaining the following rank:

- 1) ÖAR Regionalberatung / Invent Ges.m.b.H.
- 2) AGRICONSULTING S.p.A.
- 3) Dalia & Nathaniel Lichfield Associates

The rank was justified by the following reasons:

"Based on combination of skills and experience, all three institutes (ÖAR, Agriconsulting, Lichfield Associates) would be able to meet all the objectives of the programme evaluation, shown in paragraph III of the Terms of Reference. The quality and quantity of the available resources, the composition of the teams and the experience of staff in all institutes are on a high standard. However the knowledge of the ÖAR-team in the field of spatial planning (particularly of the alpine regions), the experience in evaluation (particularly in cross-border and transnational programmes) and the knowledge of the official languages of the Management Committee (English, German and Italian) have been more appreciated than the experience and the knowledge of the other institutes".

Thus, the Common Secretariat started a "written procedure" (according to Art. 5 of the "Rules of Procedure of the Management Committee") on 17th May 1999, by which the Management

Committee could nominate the ÖAR Regionalberatung / Invent Ges.m.b.H. as Evaluator of the *Alpine Space / Eastern Alps* Pilot Action.

At the moment, the Evaluator started his work (to be concluded within the current year), while the Common Secretariat is preparing the contract basing on other existing experience (INTERREG II C CADSES).

VI. NEXT STEPS OF IMPLEMENTATION

The essential steps to develop the *Alpine Space / Eastern Alps* Pilot Action in the next future are:

- *September 1999*, subscription of the Service Contract for the Evaluation of the Pilot Action with the ÖAR Regionalberatung / Invent Ges.m.b.H.
- *September 1999*, starting of a "written procedure" to partially modify projects A1 and C1
- *September 1999*, starting of the transnational monitoring of the projects
- *29th September 1999*, informal meeting of the National Authorities involved in the Pilot Action to consider the "INTERREG III B - Alpine Space" EC proposal
- *November 1999*, meeting of the transnational Management Committee and Pilot Action Evaluation Seminar (Rome)
- *29th November 1999*, INTERREG III Information Seminar organised by the Commission (Brussels)
- *December 1999*, final Evaluation Report by the ÖAR Regionalberatung / Invent Ges.m.b.H.
- *31st December 1999*, deadline for commitments in project implementation

Particularly, the transnational Management Committee will have to decide in its next meeting how to publicise the Pilot Action results, how to finalise the programme after the end of 1999 until the end of 2001 and, finally, how to make useful the experience done within the next Operational Programme INTERREG III B *Alpine Space*.

Enclosures

“Alpine Space / Eastern Alps” Pilot Action under Art. 10 ERDF – Distribution of Expenditure 04.09.1999 (1.000 €)

Measures Projects	Austria			Germany			Italy			TOTAL		
	Total	EU	NAT	total	EU	NAT	total	EU	NAT	total	EU	NAT
Project A 1	240,000	120,000	120,000	0,000	0,000	0,000	286,000	143,000	143,000	526,000	263,000	263,000
Project A 2	60,676	28,970	31,706	30,000	15,000	15,000	308,800	73,000	235,800	399,476	116,970	282,506
Project A 3	101,355	50,000	51,355	550,256	275,128	275,128	94,000	47,000	47,000	745,611	372,128	373,483
Measure A:	402,031	198,970	203,061	580,256	290,128	290,128	688,800	263,000	425,800	1.671,087	752,098	918,989
Programme	400,000	200,000	200,000	700,000	350,000	350,000	448,000	224,000	224,000	1.548,000	774,000	774,000
Diff. A*:	2,031	-1,030	3,061	-119,744	-59,872	-59,872	240,800	39,000	201,800	123,087	-21,902	144,989
Project B 1	2.000,000	800,000	1.200,000	655,000	327,500	327,500	776,000	388,000	388,000	3.431,000	1.515,500	1.915,500
Measure B:	2.000,000	800,000	1.200,000	655,000	327,500	327,500	776,000	388,000	388,000	3.431,000	1.515,500	1.915,500
Programme	1.600,000	800,000	800,000	600,000	300,000	300,000	702,000	351,000	351,000	2.902,000	1.451,000	1.451,000
Diff. B*:	400,000	0,000	400,000	55,000	27,500	27,500	74,000	37,000	37,000	529,000	64,500	464,500
Project C 1	100,000	50,000	50,000	0,000	0,000	0,000	664,000	332,000	332,000	764,000	382,000	382,000
Project C 2	900,000	450,000	450,000	583,000	283,000	300,000	76,000	38,000	38,000	1.559,000	771,000	788,000
Measure C:	1.000,000	500,000	500,000	583,000	283,000	300,000	740,000	370,000	370,000	2.323,000	1.153,000	1.170,000
Programme	1.600,000	800,000	800,000	520,000	260,000	260,000	820,000	410,000	410,000	2.940,000	1.470,000	1.470,000
Diff. C*:	-600,000	-300,000	-300,000	63,000	23,000	40,000	-80,000	-40,000	-40,000	-617,000	-317,000	-300,000
Project D 1	100,000	50,000	50,000	0,000	0,000	0,000	698,000	349,000	349,000	798,000	399,000	399,000
Project D 2	300,000	150,000	150,000	0,000	0,000	0,000	650,000	325,000	325,000	950,000	475,000	475,000
Project D 3	400,000	200,000	200,000	80,000	40,000	40,000	410,000	205,000	205,000	890,000	445,000	445,000
Measure D:	800,000	400,000	400,000	80,000	40,000	40,000	1.758,000	879,000	879,000	2.638,000	1.319,000	1.319,000
Programme	200,000	100,000	100,000	80,000	40,000	40,000	1.830,000	915,000	915,000	2.110,000	1.055,000	1.055,000
Diff. D*:	600,000	300,000	300,000	0,000	0,000	0,000	-72,000	-36,000	-36,000	528,000	264,000	264,000
A+B+C+D	4.202,031	1.898,970	2.303,061	1.898,256	940,628	957,628	3.962,800	1.900,000	2.062,800	10.063,087	4.739,598	5.323,489
Programme	3.800,000	1.900,000	1.900,000	1.900,000	950,000	950,000	3.800,000	1.900,000	1.900,000	9.500,000	4.750,000	4.750,000
Diff. A+B+C+D*	402,031	-1,030	403,061	-1,744	-9,372	7,628	162,800	0,000	162,800	563,087	-10,402	573,489
Measure E:	200,000	100,000	100,000	100,000	50,000	50,000	200,000	100,000	100,000	500,000	250,000	250,000
Total expend.	4.402,031	1.998,970	2.403,061	1.998,256	990,628	1.007,628	4.162,800	2.000,000	2.162,800	10.563,087	4.989,598	5.573,489
Programme	4.000,000	2.000,000	2.000,000	2.000,000	1.000,000	1.000,000	4.000,000	2.000,000	2.000,000	10.000,000	5.000,000	5.000,000
Diff. *	402,031	-1,030	403,061	-1,744	-9,372	7,628	162,800	0,000	162,800	563,087	-10,402	573,489

* Difference to the Programme Document "Alpine Space / Eastern Alps"

EU= total Community cofinancing

NAT= total national cofinancing

March 1999

Art. 10 Pilot action "Alpine Space / Eastern Alps"

Interim Evaluation

Terms of Reference

Terms of reference for the interim evaluation of the Art. 10 Pilot action programme "Alpine Space / Eastern Alps" in the programme period 1997-99 of the European Regional Development Fund

I. Background

The Art. 10 Pilot action programme aims to foster transnational co-operation in the area of spatial planning within the eastern alpine area. The main goals are:

- The further development of common visions and spatial planning strategies within the framework of the documents of the "ESDP"
- To promote networks for transnational, cross-border and trans-European co-operation for Alpine municipalities and regions, especially in the field of spatial planning
- The improvement and development of sustainable socio-economic activities, the preservation of natural and cultural heritage and environmentally compatible local transportation networks

The programme involves three Member States (Austria, Germany and Italy). At project level the three Member States intend to co-operate with the non-EU member states Switzerland, Liechtenstein and Slovenia. Joint procedures for transnational co-operation are established, and know-how and experience in the area of spatial planning and territorial development are shared in co-operation between central government administrations in the Member States concerned and regional authorities.

The transnational Management Committee (one representative of the EU-Commission, GDXVI, one representative of each national government of A, D and I, one representative of each participating region, representatives of the non-EU member states with observer status) is assisted by a Common

Secretariat. The Common Secretariat is composed of one designated representative for each national secretariat of Austria, Germany and Italy.

Measures of the programme are:

- A Transnational spatial development policies
- B Environmental spatial development and management of tourism
- C Settlement structures and sustainable economic development
- D Natural and cultural heritage
- E Technical Assistance

Although there is no legal obligation by the Commission to evaluate a Pilot Action Programme under art. 10 ERDF, it is the intention of the transnational Management Committee to launch an interim evaluation of the Pilot Action Programme Alpine Space. The interim evaluation should be finalised by end of 1999.

II. Basic Documents

ERDF Regulation (CEE) no 2083/93 of the Council modifying Regulation no 2052/88, OJ no L193 of 31.07.1993

Joint pilot action programme under Art. 10 ERDF for the Alpine Space

European Spatial Development Perspective (E.S.D.P.) First official draft. Presented at the informal meeting of Ministers responsible for spatial planning of the Member States of the European Union, Noordwijk, 9 and 10 June 1997. ISBN 92-828-1499-8

22 briefs regarding eligibility of funds. Adopted by the Commission in April 1997, within the framework of the programme which is aimed at modernising and improving the overall financial management of Community resources (SEM 2000)

The Common guide for evaluation

The Structural Funds Regulations for the period 1994-99

III. Objectives and Intended Results

The interim evaluation should enable the members of the transnational Management Committee

- to discuss, reflect and assess better the key aspects of their transnational co-operation under the framework of the Pilot Action Programme art. 10 ERDF Alpine Space since the launching of this initiative by the Commission.
- to be better prepared for the new programming period under INTERREG III (2000-2006).

The objectives of the programme evaluation will be:

- To evaluate the programme and the extent to which it is meeting its objectives,
- To evaluate the selection process of projects,
- To identify problems encountered in implementing the programme,
- To evaluate the process of co-operation ('virtual' secretariat, transnational working groups, the pursuit of transnational partnership),
- To evaluate the programme's contribution to Community priorities and objectives and for the proposal of new Community strategies for Alpine areas in the period from 2000 to 2006.

IV. Job Description

The interim evaluation should be designed as a learning process. It should comprise the following three stages:

1. Selection of key-issues/questions (see below), collection of selective information and preparing recommendations for the next programme period on these issues. This work will be done in co-operation with the secretariats. Interviews with members of the transnational Management Committee and with project co-ordinators will be necessary.
2. Preparation and organisation of an evaluation seminar for the transnational Management Committee, where the major findings of the experts will be presented, discussed and further developed. The character of the evaluation seminar will be of a "learning seminar".
3. Elaboration of a final report on the results of the evaluation process.

A first preliminary (non-taxative) list of key issues/question is the following (further issues will be explored during the first stage of the interim evaluation):

- efficiency of the programming, management and administration of the programme (incl. the co-operative approach of the Common Secretariat)
- suitability of the project selection/identification process; e.g. in respect to the existing major challenges of spatial development in the co-operation

area, the transnationality of the projects, the integrated/multi-sectoral spatial development approach of the projects

- suitability of the geographic scope of the programme
- possibilities to evaluate the effects of a transnational programme
- progress of the transnational working groups of projects
- relevance and conformity of the projects financed under this programme with the guidelines, provisions and objectives of the Art. 10 pilot action programme
- greater or lesser interest of some measures, need of other different measures

Final report (December 1999)

At the beginning of December 1999 the evaluator submits the draft report on programme evaluation, to which the Commission and the national partners may react.

The final report should contain max. 100 pages.

The Final Report shall include an executive summary (5 pages), a short presentation of the evaluation approach adopted, and any specific difficulties encountered, a brief description of the programme and the projects.

V. Specific Implementation Provisions

The evaluator will have access to information and data as far as necessary for the fulfilment of his/her tasks. This includes information and data communicated to the transnational Management Committee as well as other information and data available to the Common Secretariat. Furthermore, the evaluator will be allowed to require all the statistical, technical, administrative, financial and other information from the project partners. The evaluator is required to observe confidentiality when dealing with the information and data referred to above. Otherwise, the contract may be annulled without any compensation.

The evaluator will fulfil all tasks laid down in the job description, without being possible for him to amend the terms of reference.

All communications, reports, etc. submitted by the evaluator will be delivered in English.

The successful applicant will accept to start work immediately.

The contract will be fulfilled with the adoption of the final report by the transnational Management Committee.

Payment provisions: payments will be made according to working process.

VI. Selection and Award Criteria

The working language of the interim evaluation will be English.

The contractor must not be involved, directly or indirectly, in the administration of the programme or the implementation of the individual projects.

The contractor must provide evidence and satisfy the following requirements:

- experience in the field of spatial and regional development, in particular of alpine regions
- experiences in evaluation of Structural Funds programmes
- skills and experiences in process-oriented evaluations
- experience in programming, management and administration of programmes
- language: English; if possible German and Italian

The maximum budget will be 25.000 Euro.

Bids should set out:

- the applicant's name, address, telephone, fax and email,
- status of the applicant (whether he/she apply as an individual or as part of a company/ institution),
- attestations relating to the applicant's situation in respect of VAT,
- banker's reference.

Bids should also set out the following issues upon which applicants will be judged:

- appreciation of the scope and purpose of the operational programme;
- realistic methodology, according to the Common guide for evaluation, and realistic working plan;
- quality and quantity of the available resources; composition of the team, experience of the staff;
- price, broken down for the interim evaluation at least as follows: breakdown of costs (days) per person, overhead costs, material costs, travel costs, VAT (denominated in Euro),

Bids shall be valid for 3 months.

Bids should be submitted in English in triplicate not later than 30 April 1999 to:

Programme Secretariat Art. 10 Pilot action "Alpine Space"
Ms Karin Amor
c/o Alpenforschungsinstitut
Kreuzeckbahnstr. 19
D – 82467 Garmisch-Partenkirchen
Fax: ++49 08821 183 310

The final selection of the evaluator is in the responsibility of the Management Committee for "Alpine Space.

List of persons/institutions invited to tender:

Prof. Werner Bätzing
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Universität Bayreuth
Lehrstuhl Wirtschaftsgeographie und Regionalplanung
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